

COPY OF PAPERS  
ORIGINALLY FILED

Sector

Practitioner's Docket No.: 811\_001

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the application of: Yuji KATSUDA, Jun YOSHIKAWA, Masaaki MASUDA and  
Chikashi IHARA

Ser. No.: 09/982,484

Group Art Unit: 1775

Filed: October 18, 2001

Examiner: Not Assigned

For: A MATERIAL OF LOW VOLUME RESISTIVITY, AN ALUMINUM NITRIDE  
SINTERED BODY AND A METHOD USED FOR THE PRODUCTION OF  
SEMICONDUCTORS

Box Missing Parts  
Assistant Commissioner for Patents  
Washington, DC 20231

I hereby certify that this correspondence is being deposited  
with the United States Postal Service as first class mail  
addressed to Box Missing Parts, Assistant Commissioner  
for Patents, Washington D.C. 20231, on December 26,  
2001.  
*Desiree M. Bennett*  
Desiree M. Bennett

NOTIFICATION OF PRIOR SUBMISSION  
OF ORIGINAL EXECUTED DECLARATION

Sir:

In response to the Notice to File Missing Parts mailed November 26, 2001, applicants' representatives filed all the requested documents with the U.S. PTO on November 29, 2001. Attached hereto are photocopies of these documents and the PTO's copy of the Notice to File Missing Parts of Nonprovisional Application.

The PTO is requested to telephone the undersigned should they have any questions regarding this submission.

Respectfully submitted,

December 26, 2001

Date

*Stephen P. Burr*  
Stephen P. Burr  
Reg. No. 32,970

SPB/dmb

BURR & BROWN  
P.O. Box 7068  
Syracuse, NY 13261-7068

RECEIVED  
MAR 27 2002  
TC 1700

Customer No.: 025191  
Telephone: (315) 233-8300  
Facsimile: (315) 233-8320

JAN 2 2002  
UNITED STATES PATENT AND TRADEMARK OFFICECOMMISSIONER FOR PATENT  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 2023  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/982,484	10/18/2001	Yuji Katsuda	811_001

025191  
BURR & BROWN  
PO BOX 7068  
SYRACUSE, NY 13261-7068RECEIVED  
MAR 27 2002  
TC 1700CONFIRMATION NO. 701:  
FORMALITIES LETTER

\*OC00000007119157\*

Date Mailed: 11/26/200

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)


*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 740 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$1158.
  - \$990 for 55 total claims over 20.
  - \$168 for 2 independent claims over 3.
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 2028.**

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*A copy of this notice MUST be returned with the reply.*

  
Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 1 - ATTORNEY/APPLICANT COPY

NOV 30 2001



Practitioner's Docket No.: 811\_001

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Yuji KATSUDA, Jun YOSHIKAWA, Masaaki MASUDA and Chikashi IHARA

Serial No.: 09/982,484

Art Unit: Not Assigned

Date Filed: October 18, 2001

Examiner: Not Assigned

Confirmation No.:

For: A MATERIAL OF LOW VOLUME RESISTIVITY, AN ALUMINUM NITRIDE  
SINTERED BODY AND A METHOD USED FOR THE PRODUCTION OF  
SEMICONDUCTORS

Box Missing Parts  
Assistant Commissioner for Patents  
Washington, D.C. 20231

I hereby certify that this correspondence is being deposited with  
the United States Postal Service as first class mail addressed to  
Box Missing Parts, Assistant Commissioner for Patents,  
Washington D.C. 20231 on November 29, 2001.

*Desiree M. Bennett*  
Desiree M. Bennett

TRANSMITTAL OF ENGLISH TRANSLATION  
OF NON-ENGLISH LANGUAGE PROVISIONAL APPLICATION  
UNDER 37 CFR §1.78(a)(5)

RECEIVED  
MAR 27 2002  
TC 1700

Sir:

Applicants submit herewith an English translation of non-English language Provisional  
Application Serial No. 60/297,224, filed June 8, 2001 wherein the present application claims §119(e)  
priority of said non-English language provisional application (as noted in the Patent Application  
Bibliographic Data Sheet filed in the present application on October 18, 2001). Also submitted  
herewith is a statement by the translator that the translation is accurate.

Respectfully submitted,

*Stephen P. Burr*  
Stephen P. Burr  
Reg. No. 32,970

November 29, 2001

Date

SPB/dmb

BURR & BROWN  
P.O. Box 7068  
Syracuse, NY 13261-7068

COPY

Customer No.: 025191  
Telephone: (315) 233-8300  
Facsimile: (315) 233-8320

I, Sumio Aoki being familiar with the Japanese and English languages, and hereby declare that I am the translator of the documents attached and certify that to the best of my knowledge and belief the following is a true and accurate translation of U. S. provisional application number: 60/297,224.

Signed

Sumio Aoki

Sumio Aoki

Date

October 22, 2001

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Yuji KATSUDA, Jun YOSHIKAWA, Masaaki MASUDA and  
Chikashi IHARA

Serial No.: 09/982,484

Art Unit: Not Assigned

Filed: October 18, 2001

Examiner: Not Assigned

For: A MATERIAL OF LOW VOLUME RESISTIVITY, AN ALUMINUM NITRIDE  
SINTERED BODY AND A METHOD USED FOR THE PRODUCTION OF  
SEMICONDUCTORS

Box Missing Parts  
Assistant Commissioner for Patents  
Washington, D.C. 20231

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the United States Postal Service as first class mail addressed to  
Box Missing Parts, Assistant Commissioner for Patents,  
Washington D.C. 20231 on November 29, 2001.

*Desiree M. Bennett*  
Desiree M. Bennett

COMPLETION OF FILING REQUIREMENTS  
— NONPROVISIONAL APPLICATION

(check and complete this item, if applicable)

**COPY**

- I. ☐ This replies to the Notice to File Missing Parts of Nonprovisional Application  
mailed \_\_\_\_\_.
- ☐ A copy of the Notice to File Missing Parts of Nonprovisional  
Application—Filing Date Granted is enclosed.

RECEIVED  
MAR 27 2002  
TC 1700

DECLARATION OR OATH

- II. ☒ No declaration or oath was filed. Enclosed is the original declaration or oath for  
this application.

OTHER PAPERS ENCLOSED

- III. ☐ A Preliminary Amendment canceling claims without prejudice or disclaimer  
☒ Transmittal of English Translation of Non-English Language Provisional  
Application Under 37 CFR §1.78 (a)(5)  
☒ Statement by the Translator that the translation is accurate  
☒ Assignment with Assignment Transmittal

TRANSMITTAL OF ENGLISH TRANSLATION  
OF NON-ENGLISH LANGUAGE PAPERS

- IV. ☐ Submitted herewith is an English translation of the non-English language  
application papers as originally filed. Also submitted herewith is a statement by  
the translator of the accuracy of the translation. It is requested that this translation  
be used as the copy for examination purposes in the PTO.

**SMALL ENTITY STATUS**

- V. ☐ Applicant(s) claim(s) small entity status. See 37 C.F.R. § 1.27.

**COMPLETION FEES**

- VI. **WARNING:** Failure to submit the surcharge fees where required will cause the application to become abandoned. 37 C.F.R. 1.53.

*NOTE: For effect on fees of failure to establish status, or change status, as a small entity, see 37 C.F.R. 1.28(a).*

1. Filing Fee
  - ☒ Original Patent Application \$ 740.00  
(37 C.F.R. 1.16(a) --\$740.00; Small Entity--\$370.00)
2. Fees for Claims (75 Claims; 5 Indep.)
  - ☒ each independent claim in excess of 3  
(37 C.F.R. 1.16(b)--\$84.00; small entity--\$42.00) \$ 168.00
  - ☒ each claim in excess of 20  
(37 C.F.R. 1.16(c)--\$18.00; small entity--\$9.00) \$ 990.00
  - ☐ multiple dependent claim(s)  
(37 C.F.R. 1.16(d)--\$280.00; small entity--\$140.00) \$ .00
3. Surcharge fees
  - ☒ late payment of filing fee \$ 130.00  
(37 C.F.R. § 1.16(e)--\$130.00; small entity--\$65.00)

and/or

- ☒ late filing of original declaration or oath \$ .00  
(37 C.F.R. § 1.16(e)--\$130.00; small entity--\$65.00)

*NOTE: If both the filing fee and declaration or oath were missing from the original papers, only one surcharge fee for both need be paid. 37 C.F.R. 1.16(k).*

4. ☐ Petition and fee for filing by other than all the inventors or a person not the inventor \$ .00  
(37 C.F.R. § 1.17(h) and 1.47--\$130)
5. ☐ Fee for processing an application filed with a specification in a non-English language \$ .00  
(37 C.F.R. 1.17(i) and 1.52(d)--\$130.00)
6. ☐ Fee for processing and retention of application \$ .00  
(37 C.F.R. §§ 1.21(l) and 1.53(d)--\$130)

*NOTE: 37 C.F.R. § 1.21(l) establishes a fee for processing and retaining any application which is abandoned for failing to complete the application pursuant to 37 C.F.R. § 1.53(f) and this, as well as, the changes to 37 C.F.R. §§ 1.53 and 1.78 indicate that in order to obtain the benefit of a prior U.S. application, either the basic filing fee or the processing and retention fee of § 1.21(l) within 1 year of notification under § 1.53(f) must be paid.*

7. ☒ Assignment Fee \$ 40.00

**Total Completion Fees \$2,068.00**

## EXTENSION OF TIME

## VII.

(complete (a) or (b), as applicable)

The proceedings herein are for a patent application, and the provisions of 37 C.F.R. 1.136(a) apply.

- (a) ☐ Applicant petitions for an extension of time, the fees for which are set out in 37 C.F.R. 1.17(a)(1)-(4), for the total number of months checked below:

Extension (Months)		Fee for other than small entity	Fee for small entity
	One Month	\$ 110.00	\$ 55.00
	Two Months	\$ 400.00	\$ 200.00
	Three Months	\$ 920.00	\$ 460.00
	Four Months	\$1,440.00	\$ 720.00

Extension Fee

\$ 00.00

If an additional extension of time is required, please consider this a petition therefor.

(check and complete the next item, if applicable)

- ☐ An extension for \_\_\_\_\_ months has already been secured, and the fee paid therefor of \$ \_\_\_\_\_ is deducted from the total fee due for the total months of extension now requested.

Extension fee due with this request \$ 00.00

OR

- (b) ☒ Applicant believes that no extension of term is required. However, this conditional petition is being made to provide for the possibility that applicant has inadvertently overlooked the need for a petition and fee for extension of time.

## TOTAL FEE DUE

## VIII.

The total fee due is:	Completion fee(s)	\$2,068.00
	Extension fee (if any)	\$ <u>00.00</u>
	<b>Total Fee Due</b>	<b>\$2,068.00</b>

**PAYMENT OF FEES**

- IX. ☒ Enclosed is a check in the amount of \$2,068.00.  
☐ Charge Account No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_. A duplicate of this request is attached.

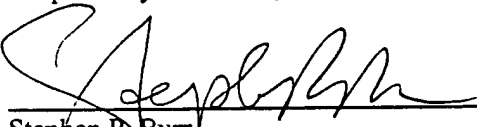
**AUTHORIZATION TO CHARGE ADDITIONAL FEES OR  
CREDIT OVERPAYMENT**

- X. ☒ The Commissioner is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 50-1446. A duplicate copy of this sheet is enclosed.  
☒ Any additional filing fees required under 37 CFR 1.16.  
☒ Any patent application processing fees under 37 CFR 1.17.

Respectfully submitted,

November 29, 2001

Date

  
Stephen P. Burr  
Reg. No. 32,970

SPB/dmb

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